JC923 U.S. PTO 11/16/01

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PTO/SB/05 (4/98)
Approved for use through 09/30/2000. OMB 0651-0032
Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R.§ 1.53(b))

Attorney Docket No.	11-072
First Inventor or Application Identifier	TERAURA et al.
Title	A METHOD OF CONTROLLING PHYSICAL DISTRIBUTION AND A PHYSICAL DISTRIBUTION CONTROLLING SYSTEM
Express Mail Label No.	

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. [X] * Fee Transmittal Form (e.g., PTO/SB/17) *(Submit an original and a duplicate for fee processing)*
2. [X] Specification [*Total Pages* 27]
 - -Descriptive title of the Invention
 - -Cross Reference to Related Applications
 - -Background of the Invention
 - -Summary of the Invention
 - -Brief Description of the Drawings
 - -Detailed Description of the Preferred Embodiment
 - -Claims
 - -Abstract of the Disclosure
3. [X] Drawing(s) *(35 U.S.C. 113)* [*Total Sheets* 6]
4. Oath or Declaration [*Total Sheets* 3]
 - a. [X] Newly executed (original or copy)
 - b. [] Copy from a prior application (37 C.F.R. § 1.63 (d)) *(for continuation/divisional with Box 16 completed*
 - i. [] DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

**NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28)*

5. [] Microfiche Computer Program *(Appendix)*
6. Nucleotide and/or Amino Acid Sequence Submission *(if applicable, all necessary)*
 - a. [] Computer Readable Copy
 - b. [] Paper Copy (identical to computer copy)
 - c. [] Statement verifying identity of above copies

J1040 U.S. PTO 09/987795 11/16/01

ACCOMPANYING APPLICATION PARTS

7. [X] Assignment Papers (cover sheet & document(s))
8. [] 37 C.F.R.§ 3.73(b) Statement *(when there is an assignee)* [] Power of Attorney
9. [] English Translation Document *(if applicable)*
10. [X] Information Disclosure Statement (IDS)/PTO-1449 [X] Copies of IDS Citations
11. [] Preliminary Amendment
12. [X] Return Receipt Postcard (MPEP 503) *(should be specifically itemized)*
13. [] *Small Entity Statement(s) *(PTO/SB/09-12)* [] Statement filed in prior application, Status still proper and desired
14. [X] Certified Copy of Priority Document(s) *(if foreign priority is claimed)*
15. [] Other:

16. **If a CONTINUING APPLICATION**, *check appropriate box, and supply the requisite information below and in a preliminary amendment*:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No:_____

Prior application information: Examiner_____ *Group/Art Unit:*_____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

☒ *Customer Number or Bar Code Label* *(Insert Customer No. or Attach bar code label here)* 23400 or ☐ *Correspondence address below*

PATENT & TRADEMARK OFFICE

Name					
Address					
City		*State*		*Zip Code*	
Country		*Telephone*	(202) 416-1638	*Fax*	(202) 416-1639

Name (Print/type)	DAVID G. POSZ	*Registration No. (Attorney/Agent)*	37,701
Signature	DGP	*Date*	NOV. 16, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

PTO/SB/17 (10-01)
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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT ($) **780**

Complete if Known	
Application Number	
Filing Date	**November 16, 2001**
First Named Inventor	**TERAURA et al.**
Examiner Name	
Group/Art Unit	
Attorney Docket No.	**11-072**

METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: **50-1147**

Deposit Account Name: **LAW OFFICE OF DAVID G. POSZ**

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

2. ☒ Payment Enclosed:

☒ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code	Large Entity Fee ($)	Small Entity Fee Code	Small Entity Fee ($)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	740
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) ($) 740

2. EXTRA CLAIM FEES

			Extra Claims		Fee from Below		Fee Paid
Total Claims	18	-20**=	0	X	18	=	
Independent Claims	2	- 3**=	0	X	84	=	
Multiple Dependent						=	

***or number previously paid, if greater; For Reissues, see below*

Large Entity Fee Code	Large Entity Fee ($)	Small Entity Fee Code	Small Entity Fee ($)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) ($) 0

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code	Large Entity Fee ($)	Small Entity Fee Code	Small Entity Fee ($)	Fee Description	Fee Paid
105	130	205	65	Surcharge – late filing fee or oath	
127	50	227	25	Surcharge – late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1440	218	720	Extension for reply within fourth month	
128	1960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive – unavoidable	
141	1,280	241	640	Petition to revive – unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	

Other fee (specify) _____

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid SUBTOTAL (3) ($) 40

SUBMITTED BY				Complete *(if applicable)*	
Name *(Print/Type)*	DAVID G. POSZ	Registration No. *(Attorney/Agent)*	37,701	Telephone	(202) 416-1638
Signature				Date	Nov. 16, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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LAW OFFICES OF
DAVID G. POSZ
2000 L STREET, N.W., SUITE 200
WASHINGTON, D.C. 20036

SPECIALIZING IN PATENTS, TRADEMARKS & COPYRIGHTS

DAVID G. POSZ
CHARLES W. BETHARDS*
KERRY S. CULPEPPER**

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(202) 416-1638
FAX (202) 416-1639
POSZLAW.COM

November 16, 2001

Hon. Commissioner of Patents and Trademarks
Washington, D.C. 20231

Sir:

OIPE HAND DELIVERY FILING CERTIFICATE

Applicant: TERAURA et al.

For: A METHOD OF CONTROLLING PHYSICAL DISTRIBUTION AND A PHYSICAL DISTRIBUTION CONTROLLING SYSTEM

Docket: 11-072

Attorney: David G. Posz

Date of Deposit: November 16, 2001

I hereby certify that this certificate and the following documents are being hand delivered to, and deposited with, the USPTO at the Customer Service Window, Office of Initial Patent Examination, Crystal Plaza Building 2, Room 1B03, 2011 South Clark Place, Arlington, VA 22202 on the above-indicated date, and are addressed to the Commissioner of Patents and Trademarks/Assistant Commissioner for Patents, Washington, D.C., 20231:

- return receipt postcard;
- transmittal form (2 copies);
- fee calculation form (2 copies);
- 27 page specification (18 numbered claims);
- 6 sheets of informal drawings;
- executed declaration/power of attorney
- executed assignment and recordation cover sheet
- IDS with PTO-1449 form and 1 reference;
- 1 certified copy of 1 priority document (JP 2000-359338); and
- check for $780.

David G. Posz
Attorney For Applicant
Reg. No. 37,701